



EPA Funding Recommendation

Title: CO DRMS; Rico Argentine; Superfund

Document Status

Document Phase: Final
Current Editor: Cinna Vallejos

Last Modified: 05/09/2012
Previous Editor: Martin Hestmark

Section A - Project Information

A.1. Grant Number: 96803601-0	A.2. Grant Type: Non-Construction
A.3. Agreement Type: Cooperative Agreement	A.4. Awarding Region: EPA R8
A.5. AAShip/RAShip: R8 - Region 8	
A.6. Approval Office: EPR Division:	
A.7. Branch: EPR-SA	
A.8. Record Type: N	
A.9. Applicant Type: State	
A.10. Applicant Name: CODNR - CO Department of Natural Resources	
A.11. DUNS: 879015899	
A.12. Project Title: Superfund State, Political Subdivision and Indian Tribe Site-Specific Cooperative Agreements	
A.13. EPA Funds Requested: \$44,585	
A.14. Program Code: V - Hazardous Substances Response Trust Fund	
A.15. Statutory Auth: CERCLA: Sec. 104(d)(1) 14-1 Superfund State Contracts and Cooperative Agreements	
A.17. CFDA: 66.802 - Superfund State Political Subdivision and Indian Tribe Site Specific Cooperative Agreements	
A.18. Media: Superfund	
A.19. Project Period Start: 05/01/2012	A.20. Project Period End: 12/31/2012
A.21. Budget Period Start: 05/01/2012	A.22. Budget Period End: 12/31/2012
A.23. Project Description: Please provide a description of the work to be accomplished in this project. Colorado Department of Natural Resources, Division of Reclamation, Mining and Safety will manage the ongoing rehabilitation measures for continued hydrologic investigation activities at the Rico Argentine Mine site.	

Section B - Project Justification and Environmental Results

B.1. Is the principle purpose of this award to transfer anything of value to the recipient to support or stimulate a public purpose authorized by an EPA grant making statute in accordance with the Federal Grant and Cooperative Agreement Act? (The purpose of the award must not be to acquire goods or services for the direct use and benefit of the Federal Government.) (See the "Policy for Distinguishing Between Assistance and Acquisition", EPA Order 5700.1.) Yes

B.1.a. Describe the specific project activities and how they will further the recipient's own efforts to protect the environment. EPA will not award a grant unless the funding recommendation is based on criteria stated in EPA Order 5700.1.

Funds from this award are to progress towards the clean-up of the Rico Argentine Mine Site and effectively implement the statutory requirement. This instrument is a Cooperative Agreement because the activities will require substantial Federal involvement.

B.1.b. Is this a cooperative agreement?

Yes

Enter Terms and Conditions outlining EPA's substantial involvement in Section F.

B.2. Does the scope of the work involve conducting any conferences or workshops? No

B.3. Describe how the project relates to the statutory authority.

Comprehensive Environmental Response, Compensation, Liability Act, Section 104(d) authorizes funds to States to support Superfund cleanup activities at sites listed on the National Priorities List. Specifically Colorado Department of

Natural Resources, Division of Reclamation, Mining and Safety will provide technical expertise on investigation activities at the Rico Argentine Mine site.

B.3.a. Is this assistance agreement a Congressional earmark project to a specific recipient? No

B.4. Expected Environmental Results: Enter the Program Results Codes (PRC) of the funds that will be used for this assistance agreement

PRC	AMOUNT	PROGRAM/PROJECT	ALLOCATION %
303DC6	45,000	C6 - Superfund: Emergency Response and Removal	100

Total Amount: \$ 45,000

This project supports the following goals, objectives, and subobjectives.

GOAL	OBJECTIVE	SUBOBJECTIVE
3 - Cleaning Up Communities and Advancing Sustainable Development	3.3 - Restore Land	- NA after FY 11

B.4.a. Does this assistance agreement result from a solicitation issued before January 1, 2005? No

B.4.b. Has your office obtained a waiver from the requirements of Environmental Results under Assistance Agreements, EPA Order 5700.7 under Section 15? No

B.4.c. The EPR in the R8 - Region 8 has reviewed the work plan. The Office has determined that it contains well-defined outputs and, to the maximum extent practical, well-defined outcomes or that the award is a State or Tribal assistance agreement under 40 CFR Part 35, Subparts A or B that complies with 40 CFR 35.107 (State and local government work plans) or 35.507 (Tribal work plans). See EPA Order 5700.7 Sections 7.a. and 8.b. Yes

Enter Terms and Conditions on results based on recipient type and program code.

B.4.d. Describe how this project fits within the Agency's Strategic Plan/Government Performance and Results Act architecture. The description must identify all EPA strategic goals, objective, and where available, subobjectives listed under Section B.4 consistent with the appropriate Program Results Codes. (See EPA Order 5700.7, Section 8.)

This project supports Goal 3, Land Preservation and Restoration. The objective is to restore land, the sub-objective is to cleanup and reuse contaminated land. This is for ongoing investigation activities and the Rico Argentine Mine site

B.4.e. Attach a program specific term and condition approved by the Director, Office of Grants and Debarment, which requires recipient reporting or attach a reporting term and condition in accordance with Appendix B to EPA Order 5700.7.

The recipient must submit Quarterly Performance/Progress Reports to the EPA Project Officer within 60 days after the reporting period and a Final Performance/Progress Report within 90 days after the expiration or termination of grant support in accordance with 40 CFR Part 35.66.50(b).

B.5. Quality Assurance: Does this program or project include generation of environmental data, or use of existing environmental data?	No
B.6. Is the recipient of this assistance award a non-profit organization?	No
B.7. Will the assistance award result in the development of any copyrighted software or written materials?	No
B.8. Is this a small grant as defined by the Small Grant Policy?	No
B.9. Is this a Research Assistance Agreement?	No
B.10. Could an invention result from this project?	No
B.11. Does the project involve human subjects?	No
B.12. Does the project involve animal subjects?	No
B.13. Is this a cooperative agreement which will include the survey or collection of identical information from 10 or more persons, or a grant which will include the survey or collection of identical information from 10 or more persons and under which EPA influenced the design, development or implementation of the survey? (See Grants Policy Issuance 99-1, Information Collection Requirements)	No
B.14. Does this proposal include projects that will be performed entirely or in part outside of the United States?	No
B.15. Does the grant involve or relate to geospatial information?	No

Geospatial information includes: "Information that identifies the geographic location

and characteristics of natural or constructed features or boundaries on the Earth, or applications, tools, and hardware associated with the generation, maintenance, or distribution of such information. The information may be derived from, among other things, GPS, remote sensing, mapping, charting, and surveying technologies, or statistical data."

B.16. Will this assistance agreement require individuals to access federally controlled facilities or have access to federally controlled computer systems at least 24 hours a week for a 6 month period or more? No

B.17. Place of performance is the primary location of performance e.g. Harvard University in Cambridge MA conducts a project in Lancaster PA. The place of performance is Lancaster PA.

B.17.a State CO
B.17.b County Denver
B.17.c City Denver
B.17.d Congressional District 01
B.17.e Zipcode 80203-2239

Section C - Competition, EPA Order 5700.5A1

C.1. Was the award made through a competitive process? No

C.2. Select the reason why the award was not competed under EPA Order 5700.5A1.

Exempt from Competition Policy - 6.c

C.2.a. Select the reason under Section 6.c of the Competition Policy for why the award was exempt.

Assistance award to State/Interstate/Local agencies and Tribes/Intertribal Consortia and other eligible recipients under the programs identified in 6.c(1)

C.3. Competition code: P

Section D - Project Funding

Approved Budget	
Cost Category Classification (Nonconstruction)	Approved Allowable Budget Period Cost
D.1. Personnel	\$24,756
D.2. Fringe Benefits	\$5,446
D.3. Travel	\$9,785
D.4. Equipment	\$0
D.5. Supplies	\$1,104
D.6. Contractual	\$0
D.7. Construction	\$0
D.8. Other	\$0
D.9. Total Direct Costs	\$41,091
D.10. Indirect Costs	\$3,494
IDC Rate % Base \$	
D.11. Total	\$44,585
D.12. Total Requested Amount	\$44,585
D.13. Total Request To Fund Amt This Action	\$45,000
D.14. Is this funding full or partial (incremental)?	Full

Section E - Project Funding Information

E.1. Based on a cost review analysis, all costs are necessary and reasonable in accordance with the Cost Review Guidance (GPI-00-05) Yes

E.1.a. Enter or attach Cost Review Analysis.



RICO DRMS cost review.pdf

E.2. Does this project include preaward costs? No

E.3. Will this assistance agreement be funded with funds from more than one appropriation? No

E.4. Does the funding for this action include any EPA In-Kind Contribution?	No
E.5. Is the recipient providing cost sharing under this agreement?	No
E.6. Does this action include approval to carry forward obligated funds from prior years?	No
E.7. Is this project expected to generate program income?	No
E.8. Will equipment be acquired under this assistance agreement? (See 40 CFR 30.34 or 31.32, as appropriate, and Grants Policy Issuance 02-02.)	No

Section F - Terms and Conditions

F.1. Insert Appropriate Terms and Conditions.

1. EPA may terminate the assistance agreement for failure to make sufficient progress so as to reasonably ensure completion of the project within the project period, including any extensions. EPA will measure sufficient progress by examining the performance required under the workplan in conjunction with the milestone schedule, the time remaining for performance within the project period, and/or the availability of funds necessary to complete the project.

2. Unless the event(s) are specified in the approved workplan, the recipient agrees to obtain prior approval from EPA for the use of grant funds for light refreshments and/or meals served at meetings, conferences, training workshops, and outreach activities (events). The recipient must send requests for approval to the EPA Project Officer and include:

- (1) An estimated budget and description for the light refreshments, meals, and/or beverages to be served at the event(s);
- (2) A description of the purpose, agenda, location, length and timing for the event.
- (3) An estimated number of participants in the event and a description of their roles.

Recipients may address questions about whether costs for light refreshments, and meals for events are allowable to the recipient's EPA Project Officer. However, the Agency Award Official or Grant Management Officer will make final determinations on allowability.

Note: U.S. General Services Administration regulations define light refreshments for morning, afternoon or evening breaks to include, but not be limited to, coffee, tea, milk, juice, soft drinks, donuts, bagels, fruit, pretzels, cookies, chips, or muffins. (41 CFR 301-74.11).

2. 1. Authority

The Environmental Protection Agency, (EPA) awards this Cooperative Agreement (CA) in accordance with the Federal Grant and Cooperative Agreement Act of 1977. This Agreement is subject to all applicable EPA assistance regulations, including those contained in 40 CFR Part 35, Subpart O.

2. Prompt Payment Act Provisions

In accordance with Section 2(d) of the Prompt Payment Act (PL 97-177), Federal funds may not be used by the recipient for the payment of interest penalties to contractors when bills are paid late, nor may interest penalties be used to satisfy cost-sharing requirements. Obligations to pay such interest penalties will not be obligations of the United States.

3. EPA Measure for Non-Compliance

If the State should fail to comply with one or more conditions in this agreement, EPA may terminate the cooperative agreement in whole or in part. Prior to any termination, EPA will provide the State with a 60 day notice and an opportunity for consultation with the Regional Administrator or his or her designee.

4. Exclusion of Third Parties

This agreement extends no benefit or rights to any party not a signatory. In addition, EPA does not assume any liability to third parties with respect to losses due to bodily injury or property damages that exceed the limitations contained in the provisions of 28 USC sections 1346(b), 2671-2680. To the extent permitted by State law, the State does not assume liability to any third parties with respect to losses due to bodily injury or property damage.

5. Activities Prohibited By State Laws

In the event that the State determines after execution of the CA that State laws or other restrictions prevent the State from acting consistent with CERCLA, as amended by SARA, the State must agree to promptly notify and consult with EPA regarding the use of such laws or other restrictions.

6. Progress Report Requirements

In accordance with the provisions of 40 CFR 35.6650, the recipient must submit progress reports quarterly on the activities delineated in the cooperative agreement statement of work. The reports must be submitted to the EPA Project Officer within 60 days of the end of each Federal fiscal quarter.

In accordance with 40 C.F.R. §31.40, the recipient agrees to submit performance reports that include brief information on each of the following areas:

- 1) a comparison of actual accomplishments to the outputs/outcomes established in the assistance agreement workplan for the period;
- 2) the reasons for slippage if established outputs/outcomes were not met; and
- 3) additional pertinent information, including, when appropriate, analysis and information of cost overruns or high unit costs.

In accordance with 40 C.F.R. § 31.40 (d), the recipient agrees to inform EPA as soon as problems, delays or adverse conditions become known which will materially impair the ability to meet the outputs/outcomes specified in the assistance agreement work plan.

7. Recordkeeping System Standards

The recipient must maintain a recordkeeping system that enables site-specific costs to be tracked by site activity, and operable unit as applicable, and provides sufficient documentation for cost recovery purposes.

8. Funds Use

These funds must be used for activities directly related to Superfund response actions stated in the workplan.

9. Substantial Federal Involvement

Substantial Federal involvement with the recipient is anticipated during the performance of the cooperative agreement. This Federal involvement includes:

1. Monitoring by EPA of the recipient's performance
2. Consultation and collaboration on technical matters that will help the recipient carry out the agreement effectively.
3. EPA's prior review and approval of project phases and the substantive terms of proposed contracts the recipient enters into to carry out specific elements of the scope of work.

10. RECIPIENT PERFORMANCE REPORTING

Recipients subject to 40 C.F.R. Part 30

Performance Reports:

In accordance with 40 C.F.R. § 30.51 (d), the recipient agrees to include in performance reports submitted under this agreement brief information on each of the following areas: 1) a comparison of actual accomplishments with the anticipated outputs/outcomes specified in the assistance agreement work plan; 2) reasons why anticipated outputs/outcomes were not met; and 3) other pertinent information, including, when appropriate, analysis and explanation of cost overruns or high unit costs.

In accordance with 40 C.F.R. § 30.51 (f), the recipient agrees that it will notify EPA of problems, delays, or adverse conditions which materially impair the ability to meet the outputs/outcomes specified in the assistance agreement work plan.

Recipients subject to 40 C.F.R. Part 31 (other than recipients of State or Tribal Program grants under 40 C.F.R. Parts 35 Subparts A or B)

Performance Reports:

In accordance with 40 C.F.R. §31.40, the recipient agrees to submit performance reports that include brief information on each of the following areas: 1) a comparison of actual accomplishments to the outputs/outcomes established in the assistance agreement workplan for the period; 2) the reasons for slippage if established outputs/outcomes were not met; and 3) additional pertinent information, including, when appropriate, analysis and information of cost overruns or high unit costs.

In accordance with 40 C.F.R. § 31.40 (d), the recipient agrees to inform EPA as soon as problems, delays or adverse conditions become known which will materially impair the ability to meet the outputs/outcomes specified in the assistance agreement work plan.

1. EPA may terminate the assistance agreement for failure to make sufficient progress so as to reasonably ensure completion of the project within the project period, including any extensions. EPA will measure sufficient progress by examining the performance required under the workplan in conjunction with the milestone schedule, the time remaining for performance within the project period, and/or the availability of funds necessary to complete the project.

2. Unless the event(s) are specified in the approved workplan, the recipient agrees to obtain prior approval from EPA for the use of grant funds for light refreshments and/or meals served at meetings, conferences, training workshops, and outreach activities (events). The recipient must send requests for approval to the EPA Project Officer and include:

- (1) An estimated budget and description for the light refreshments, meals, and/or beverages to be served at the event(s);
- (2) A description of the purpose, agenda, location, length and timing for the event.
- (3) An estimated number of participants in the event and a description of their roles.

Recipients may address questions about whether costs for light refreshments, and meals for events are allowable to the recipient's EPA Project Officer. However, the Agency Award Official or Grant Management Officer will make final determinations on allowability.

Note: U.S. General Services Administration regulations define light refreshments for morning, afternoon or evening breaks to include, but not be limited to, coffee, tea, milk, juice, soft drinks, donuts, bagels, fruit,

pretzels, cookies, chips, or muffins. (41 CFR 301-74.11).

11. Wage Rate Requirements under Section 104(g) of CERCLA
Preamble

Section 104(g) of the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA) requires that all laborers and mechanics employed by contractors and subcontractors in the performance of construction, repair, or alteration work funded in whole or in part under CERCLA Section 104 shall be paid wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with Sections 3141-3144, 3146, and 3147 of Title 40 of the United States Code.

Pursuant to Reorganization Plan No. 14 and the Copeland Act, 40 U.S.C. 3145, the Department of Labor has issued regulations at 29 CFR Parts 1, 3, and 5 to implement the Davis-Bacon and Related Acts (DB). Regulations in 29 CFR 5.5 instruct agencies concerning application of the standard Davis-Bacon contract clauses set forth in that section. Federal agencies providing grants, cooperative agreements, and loans under the CERCLA 104 shall ensure that the standard Davis-Bacon (DB) contract clauses found in 29 CFR 5.5(a) are incorporated in any resultant covered contracts that are in excess of \$2,000 for construction, alteration or repair (including painting and decorating).

For cooperative agreements under 40 C.F.R part 35, Subpart O, the project officer should carefully review the statement of work to determine whether there will be contract(s) in excess of \$2,000 for construction, alteration, or repair (including painting and decorating). Generally, this type of work may occur under removal and remedial response cooperative agreements. It may also occur under a support agency cooperative agreement if the state is providing in-kind services as part of its cost share as documented in a Superfund State Contract. Construction, alteration or repair activities normally do not occur under Core, pre-remedial, and enforcement cooperative agreements; therefore, the Davis-Bacon Act terms and conditions need not be included in these cooperative agreements. If the project officer has a question regarding whether the Davis Bacon term and condition should be included in the cooperative agreement, he/she may contact the Region 8 Grants Office for guidance.

The Secretary of Labor retains final coverage authority for DB under Reorganization Plan Number 14.

3. Unless the event(s) and all of its components (i.e., receptions, banquets and other activities that take place after normal business hours) are described in the approved workplan, the recipient agrees to obtain prior approval from EPA for the use of grant funds for light refreshments and/or meals served at meetings, conferences, training workshops, and outreach activities (events). The recipient must send requests for approval to the EPA Project Officer and include:

- (1) An estimated budget and description for the light refreshments, meals, and/or beverages to be served at the event(s);
- (2) A description of the purpose, agenda, location, length and timing for the event.
- (3) An estimated number of participants in the event and a description of their roles.

Recipients may address questions about whether costs for light refreshments, and meals for events are allowable to the recipient's EPA Project Officer. However, the Agency Award Official or Grant Management Officer will make final determinations on allowability. Agency policy prohibits the use of EPA funds for receptions, banquets and similar activities that take place after normal business hours unless the recipient has provided a justification that has been expressly approved by EPA's Award Official or Grants Management Officer.

Note: U.S. General Services Administration regulations define light refreshments for

morning, afternoon or evening breaks to include, but not be limited to, coffee, tea, milk, juice, soft drinks, donuts, bagels, fruit, pretzels, cookies, chips, or muffins. (41 CFR 301-74.11)

4. **General Greening Practices** State/ contractor shall explore, evaluate and implement (where practicable) green cleanup strategies and applications in the performance of the requirements of this cooperative agreement/contract to maximize efficient use of energy and water, promote reuse of industrial materials and recycling, and protect and preserve land resources. The State/contractor shall recommend (when feasible) green cleanup options and approaches, including cost analyses for these options, and maintain records of green cleanup activities. State/contractor shall report all green cleanup activities in its monthly progress report to the Project Officer and or other specified EPA agent. Specific examples of these efforts include, but are not limited to:

- Evaluating renewable energy sources and technologies via a cost analysis that compares the energy costs from renewable sources versus traditional electricity sources provided by local utilities over the expected life of the cleanup;
- Adopting clean diesel technologies, and anti idling measures.
- Evaluating options for reuse and/or recycling and materials.
- Purchasing or renting energy star labeled equipment.

Refer to EPA's Green Cleanup webpage for additional information on green cleanup practices:
<http://clu.in.org/greenremediation/>

Section G - Project Officer Approval

G.1 Project Officer Approval. I have reviewed and approved the work plan/scope of work and budget for this project and I recommend the Award. Yes

G.1a. Address: 1595 Wynkoop Street

G.1.b. City: Denver

G.1.c. State: CO

G.1.d. Zip Code: 80202-1129

G.2. Is this a non-competitive award or out-of-scope monetary increase amendment that requires the Assistant Administrator or Regional Administrator's certification under the Administrator's April 5, 2005 Memorandum on the Review and Announcement of Discretionary Grants? No

G.3. Does this Funding Recommendation require approval of the Senior Resources Official? No

Section H - Commitment Clerk

H.1. Funding Regions: EPA R8

H.1.q. Commit Clerk: Mike Zimmerman

H.1.r. Funding Region: EPA R8

Section I - Signatures

I. AO/SRO Region: EPA R8

I.1. Approval Official Signature

I.1.a. Approval Official: Martin Hestmark

I.1.b. Title: Acting Deputy Assistant Regional Administrator

I.1.c. Phone: 303-312-6776

I.1.d. Delegate: Russell Leclerc

I.1.e. Title: Supv. Environmental Protection Specialist

I.1.f. Phone: 303-312-6693

Approval Official Signature: - Signed by Russell Leclerc/R8/USEPA/US on 05/04/2012 07:21:55 AM, according to /USEPA/US

I.1.g. Approval: Signed

I.1.h. Date: 05/04/2012

I.1.i. Notes: Using special account funds.

I.1.j. Attachment:

Section J - Review & Approvals

J.1. Read Access: Controlled

J.2. Readers: Cinna Vallejos
Jasmin Guerra

J.3. Submitted:

J.5. Concurrent
Approvers:

J.6. Submitted:

J.7. Due Date:

Concurrent Approval Responses		
Response	Concurrence By	Date

J.8. Sequential 1. Steve Wharton
Approvers:

J.9. Submitted:

Current Approver: Completed

J.10. Due Date: 04/30/2012

Sequential Approval Responses		
Response	Concurrence By	Date

Section K - Commitment Notices

CO DRMS; Rico Argentine; Superfund	\$44,585	Final
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Section L - Grant Specialist

L.1. Grant Specialist: Jasmin Guerra

L.2. Title: Grants Specialist

L.3. Phone: 303-312-6508

L.4. Submitted: 05/09/2012

Section M - Funding Recommendations Attachments

Attachments:

Section N - Origination Information

Created By: Cinna Vallejos on 03/27/2012

Organization: EPA R8

Section O - Notifications History

04/26/2012 - Clerk - Mike Zimmerman
04/26/2012 - Update Sequential Approval - Steve Wharton
05/03/2012 - AO Signature - Martin Hestmark, Russell Leclerc
05/04/2012 - Final - Cinna Vallejos, Jasmin Guerra
05/09/2012 - Notify Grant Specialist - Jasmin Guerra

Document Readers

**Commitment Notice**

Title: CO DRMS; Rico Argentine; Superfund

Document Status

Document Phase: Final

Last Modified: 05/09/2012

Current Editor: Mike Zimmerman

Previous Editor: Mandi Rodriguez

Commitment Notice Information

Program Code: V - Hazardous Substances Response Trust Fund

Grant Number: 96803601-0

Approved Ceiling: \$44,585

Commitment Amt: \$44,585

Commitment Type: Original Commitment

Agreement Type: Cooperative Agreement

Applicant Name: CODNR - CO Department of Natural Resources

DUNS: 879015899

Employer EIN: 84-0644739

Awarding Region: EPA R8

Responsibility Ctr: 80L

Allowance Holder: 80L

Is Contract Negotiator Allowed to exceed amount shown above by up to 10% without securing further approval for:

Allowed to Exceed: No

Description Of Project, Goods, or Services

Description: Colorado Department of Natural Resources, Division of Reclamation, Mining and Safety will manage the ongoing rehabilitation measures for continued hydrologic investigation activities at the Rico Argentine Mine site.

Task, Resp, or Other Local Identifier:

Identifier:

Special Comments and Instructions:

Comments:

Commitment Notice Document Attachments

Fiscal Information

COMPASS Status: Accepted

Line	Site Name	Req No	Fiscal Yr	Approp Code	BO Code	PRC	Object Class	Amount	Site Project	Cost Org Code
002	RICO	1208LSP063	11	TR2B	08L	303DC6	4126	44 585	08BUBB01	-
								44 585		

Review

Read Access: Controlled

Readers: Cinna Vallejos
Steve Wharton
Martin Hestmark
Russell Leclerc
Jasmin Guerra
Mike Zimmerman

Submitted:

Approvers: David Ostrander

Submitted: 04/27/2012

Due Date: 04/30/2012

Response	Approver	Date
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Funds Control Officer Signature

Funds Control EPA R8

Officer Region:

Funds Control Mandi Rodriguez

Officer:

Title: Administrative Officer

Phone: 303-312-6697

Delegate: Lourdes Deppmeier

Title:

Phone: 303-312-7040

Funds Control Officer Signature: - Signed by Mandi Rodriguez/R8/USEPA/US on 05/09/2012 10:24:07 AM, according to /USEPA/US

Approval: Signed

Date: 05/09/2012

Notes:

Attachment:

Project Officer

Approving Region: EPA R8

Project Officer: Cinna Vallejos

PO Phone: 303-312-6376

Grant Specialist

Grant Specialist: Jasmin Guerra

Funding Recommendation

CO DRMS; Rico Argentine; Superfund

\$45,000

Final

Origination Information

Notifications History

COST REVIEW TEMPLATE FOR PROJECT OFFICERS – PROJECT GRANTS AND ALL OTHER GRANTS SUBJECT TO THIS COST REVIEW
(Electronically attach the completed form in IGMS, then print and retain a copy in the grant file. Include comments at the end of the cost review as necessary.)

Application/Grant Number:	V96803601	Applicant:	CODNR / DRMS
Project Period:	5/1/2012 - 12/31/2012	Budget Period:	5/1/2012 - 12/31/2012
Project Officer:	Cinna Vallejos	Date Application Signed:	

Application is for: ☒ new funding ☐ supplemental funding ☐ other:

Basis for Cost Determination: Application (check all applicable boxes)		
<input checked="" type="checkbox"/> Experience with applicant/project	<input checked="" type="checkbox"/> Experience with similar organizations	<input checked="" type="checkbox"/> Experience with similar projects
Guidance: Personnel		
<p>This category includes only direct costs for the salaries of those individuals who will perform work directly for the project (generally, paid wage grade employees of the applicant organization). Personnel costs do not include: (1) costs for services of consultants, contractors, consortia members, or other partner organizations, which are included in the "Contractual" category; (2) costs for employees of subrecipients under subawards, which are included in the "Other" category; or (3) effort that is not directly in support of the proposed project, which may be covered by the organization's negotiated indirect cost rate.</p> <p>The applicant's budget detail must identify the personnel category type by FTE, including percentage of FTE for part-time employees, number of personnel proposed for each category, and the estimated funding amounts. For example, 4 engineers @ \$125,000; 2 scientists @ \$75,000, 1 Manager @ \$200,000, etc.</p> <p>The Bureau of Labor Statistics web site at http://data.bls.gov/PDQ/outside.jsp?survey=nc may assist determining reasonability.</p>	<p>Personnel</p> <p>A. Is the applicant proposing personnel as a direct cost under the application? <i>If NO, go to Travel.</i> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>B. Are proposed personnel costs eligible and allowable for funding (and cost sharing and/or matching if applicable) as direct costs under applicable program guidance and program regulations? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>C. Are the proposed personnel costs (labor categories and salary ranges, skill mix, and their level of effort) reasonable and necessary to achieve project objectives? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>D. Are job titles/categories/labor rates consistent with the proposed function under the project? (E.g., if the CEO will be performing engineering work, the proposed compensation or valuation of contributed services should be appropriate for an engineer rather than a CEO.) Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>E. Are the proposed personnel costs consistent with the budget and project periods? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>F1. Total requested personnel costs: \$ 30,202</p> <p>F2. Total approved personnel costs: \$</p>	
	Basis for Cost Determination: Personnel (check all applicable boxes)	
<input checked="" type="checkbox"/> Publicly available information (e.g., on salary ranges, job classifications) - Source:	<input checked="" type="checkbox"/> Prudent person test (i.e., it does not exceed an amount that any reasonable person would incur under similar circumstances)	<input type="checkbox"/> Other:
Guidance: Travel		
<p>Travel may be integral to the purpose of the proposed project (e.g., inspections) or related to proposed project activities (e.g., attendance at meetings). Applicants must provide a narrative description of the types/purposes of travel, estimated number of trips, planned destinations,</p>	<p>Travel</p> <p>A. Is the applicant proposing travel as a direct cost under the application? <i>If NO, go to Equipment.</i> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>B. Are proposed travel costs eligible and allowable for funding (and cost sharing and/or matching if applicable) as direct costs under applicable</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p>

<p>and estimated number of travelers.</p> <p>The FedTravel website at http://www.fedtravel.com/ may assist determining reasonability.</p>	<p>program guidance and program regulations?</p> <p>C. Overall and by purpose of travel, is the proposed travel reasonable and necessary to achieve project objectives?</p> <p>D1. Total requested travel costs: D2. Total approved travel costs:</p>	<p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>\$ 9785 \$</p>
<p>Basis for Cost Determination: Travel (check all applicable boxes)</p>		
<p><input checked="" type="checkbox"/> Knowledge of the training, meetings, or other purposes associated with the travel <input checked="" type="checkbox"/> Prudent person test <input type="checkbox"/> Other:</p>		
<p>Guidance: Equipment</p> <p>This category includes only equipment proposed to be purchased as a direct cost. Equipment is defined as tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit although a lower dollar amount threshold can be established by the applicant. Equipment also includes accessories necessary to make the equipment operational. It does not include: (1) equipment planned to be leased/rented, including lease/purchase agreements; or (2) equipment service or maintenance contracts. These types of proposed costs should be included in the "Other" category.</p> <p>The budget narrative must include an itemized listing of all equipment proposed under the agreement.</p> <p>Non-State applicants must conduct a price-cost analysis for equipment purchases as required under 40 CFR 31.36 (State and Local Governments) or 40 CFR 30.45 (Non-Profits and Institutions of Higher Education).</p> <p>If non-competitive (e.g., sole-source) procurement is proposed by locality or tribal applicants for any amount, or by institutions of higher education, hospitals, or non-profits in excess of \$100,000, the PO may require the applicant to prepare a technical justification for the non-competitive procurement. State applicants need not provide a justification for non-competitive equipment purchases.</p>	<p>Equipment</p> <p>A. Is the applicant proposing the purchase of equipment as a direct cost under the application? <i>If NO, go to Supplies.</i></p> <p>B. Are proposed equipment costs eligible and allowable for funding (and cost sharing and/or matching if applicable) as direct costs under applicable program guidance and program regulations?</p> <p>C. Is each item of equipment proposed for purchase necessary to achieve project objectives?</p> <p>D. Were options other than purchase for each item of equipment considered, such as leasing, renting, or loan of government property? (Please complete the "Justification for Equipment Purchase" below to explain why equipment purchase was chosen.)</p> <p>E. Is the proposed cost of each item of equipment reasonable and is the category total reasonable in relation to the overall project budget?</p> <p>F. For non-State applicants, if sole-source procurements are indicated, has the applicant been informed of sole-source and cost-price analysis requirements?</p> <p>G1. Total requested equipment costs: G2. Total approved equipment costs:</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/></p> <p>\$ ----- \$</p>
<p>Basis for Cost Determination: Equipment (check all applicable boxes)</p>		
<p><input type="checkbox"/> Knowledge of the type of equipment (e.g., companies that manufacture, how sold, etc.) (including similar equipment purchased by other recipients)</p> <p><input type="checkbox"/> Consistency with recipient's procurement system (if State applicant)</p>	<p><input type="checkbox"/> Market research/market value Source:</p>	<p><input type="checkbox"/> Prudent person test</p> <p><input type="checkbox"/> Other:</p>

Justification for Equipment Purchase (check all applicable boxes)

- ☐ Equipment has long-term value to the recipient's environmental programs
☐ Equipment will serve an ongoing need of the project

- ☐ Equipment is intended to replace similar equipment
☐ Leasing will result in increased costs to the project (shown comparison supported by market research)

Guidance: Supplies

Supplies are tangible personal property other than equipment. Any single item valued at \$5,000 or more in this category should be moved to the "Equipment" category. Non-tangible goods and services associated with supplies, such as printing services, photocopy services, and rental costs should be included in the "Other" category.

The applicant's narrative must include a brief description of the supplies required to perform the work. These costs should be categorized by major supply categories and include the estimated costs by category. For example, office supplies, computer supplies, and monitoring supplies.

Supplies

A. Is the applicant proposing supplies as a direct cost under the application?
If NO, go to Contractual/Consultant Services.

Yes ☒ No ☐

B. Are proposed supply costs eligible and allowable for funding (and cost sharing and/or matching if applicable) as direct costs under applicable program guidance and program regulations?

Yes ☒ No ☐

C. Overall and by category/type of supply, are the proposed supply costs reasonable and necessary to achieve project objectives?

Yes ☒ No ☐

D1. Total requested supply costs:

D2. Total approved supply costs:

\$ 1104
\$

Basis for Cost Determination: Supplies (check all applicable boxes)

☐ Market research/market value - Source:

☒ Prudent person test

☐ Other:

Guidance: Contractual/Consultant Services

Contractual/consultant services are those services to be carried out by an individual or organization other than the applicant in the form of a procurement relationship.

The applicant should list the proposed contract activities along with a brief description of the scope of work or services to be provided, proposed duration, and proposed procurement method (competitive or non-competitive), if known.

Non-State applicants must conduct a price-cost analysis for all procurement as required under 40 CFR 31.36 (State and Local Governments) or 40 CFR 30.45 (Non-Profits and Institutions of Higher Education).

If non-competitive (e.g., sole-source) contracting is proposed by locality or tribal applicants for any amount, or by institutions of higher education, hospitals, or non-profits in excess of \$100,000, the PO may require the applicant to prepare a technical justification for the non-competitive procurement. State applicants need not provide a justification for non-competitive procurement.

Contractual/Consultant Services

A. Is the applicant proposing to acquire contractual services as a direct cost under the application? *If NO, go to Other Direct Costs.*

Yes ☐ No ☐

B. Are proposed contractual/consultant costs eligible and allowable for funding (and cost sharing and/or matching if applicable) as direct costs under applicable program guidance and program regulations?

Yes ☐ No ☐

C. Are the proposed services necessary and reasonable to carry out the applicant's proposed scope of work?

Yes ☐ No ☐

D. If stated in the application, are the durations of proposed contracts consistent with the budget and project periods?

Yes ☐ No ☐ N/A ☐

E. For non-State applicants, if sole-source procurements are indicated, has the applicant been informed of sole-source and cost-price analysis requirements?

Yes ☐ No ☐ N/A ☐

F1. Total requested contractual/consultant costs:

F2. Total approved contractual/consultant costs:

\$
\$

Basis for Cost Determination: Contractual/Consultant Services (check all applicable boxes) <input type="checkbox"/> Knowledge of the services to be provided <input type="checkbox"/> Additional research - Specify: <input type="checkbox"/> Consistency with recipient's procurement system (if State applicant) <input type="checkbox"/> Other:		
Guidance: Other Direct Costs <p>Other: This category should include only those types of direct costs that do not fit in any of the other budget categories. Examples of costs that may be in this category are: insurance and indemnification, rental/lease of equipment or supplies, equipment service or maintenance contracts, printing or photocopying, and subaward costs.</p> <p>Subawards: Subawards (e.g., subgrants) are a distinct type of cost under this category. The term "subaward" means an award of financial assistance (money or property) by any legal agreement made by the recipient to an eligible subrecipient. This term does not include procurement purchases, technical assistance in the form of services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. Subcontracts are not subawards and belong in the contractual category.</p> <p>Applicants must provide the aggregate amount they propose to issue as subaward work and a description of the types of activities to be supported.</p>	Other Direct Costs <p>A. Is the applicant proposing any other types of costs as direct costs under the application? <i>If NO, go to Questioned Costs.</i> Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>B. Are the specific costs/activities eligible and allowable for funding (and cost sharing and/or matching if applicable) as direct costs under applicable program guidance and program regulations? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>C. Taking into account each different type of cost proposed, are the costs reasonable and necessary to achieve project objectives? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <hr/> <p>D. Does this award include any subaward work? <i>If NO, go to Questioned Costs.</i> Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>D.1 Are there any programmatic eligibility restrictions on who may perform proposed subaward work? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>D.2 Is the proposed subaward work for authorized assistance purposes (i.e., not to acquire goods or services for use by the applicant)? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>D.3 Is the proposed subaward work necessary to achieve project objectives? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>E1. Total requested other (including subaward) costs: \$ <input style="width: 100px;" type="text"/></p> <p>E2. Total approved other (including subaward) costs: \$ <input style="width: 100px;" type="text"/></p>	
Questioned Costs Did this cost review analysis result in questioned costs that required the applicant to submit a revised budget sheet? (If YES, please provide a brief narrative on the questioned costs and the resolution of the questioned costs.) Yes <input type="checkbox"/> No <input type="checkbox"/>		
Cost Review Analysis Summary <p><i>The cost review analysis of the proposed applicant budget was conducted in accordance with applicable program guidance and regulation. Answers to all cost review questions are based on the best professional judgment of the undersigned reviewer after analysis of the grant application and applicable programmatic documents (e.g., programmatic guidance, regulation, etc.).</i></p>		
Project Officer Name: <u>Conne Vallejos</u> Project Officer Signature: <u>Conne Vallejos</u> Date: <u>4/26/12</u>		

Technical PO: Steven Wang SEW 4/26/12.

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12/18/13

OMB CONTROL NO 2090-0030
APPROVED 05/01/2008
APPROVAL EXPIRES 12/22/2013U.S. ENVIRONMENTAL PROTECTION AGENCY
MBE/WBE UTILIZATION UNDER FEDERAL GRANTS
AND COOPERATIVE AGREEMENTS

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2B. EPA DBE COORDINATOR Name: Marshall Pullman E-mail: pullman.marshall@epa.gov	2C. PHONE (303) 312-6499 Fax: 303-312-6685	3B. RECIPIENT REPORTING CONTACT: Name: Allen Sorenson E-mail: allen.sorenson@state.co.us	3C. PHONE: 303-886-3567 ext 8143 Fax: 303-832-8106																		
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7. NAME OF RECIPIENT'S AUTHORIZED REPRESENTATIVE: Allen Sorenson <i>Allen Sorenson</i>		TITLE Project Manager <i>Director, Active & Inactive Mine Program</i>																			
8. SIGNATURE OF RECIPIENT'S AUTHORIZED REPRESENTATIVE <i>Allen Sorenson</i>		DATE December 17, 2013																			

Guerra, Jasmin

From: Seymour - DNR, Kimberly [kimberly.seymour@state.co.us]
Sent: Friday, January 17, 2014 9:41 AM
To: Guerra, Jasmin
Subject: Re: MBE/WBE - verifying authorized rep signature
Attachments: epa-rico-mwbe.pdf

Hi Jasmin -

Here is the form, signed by Bruce Stover. I'll tell Allen that Bruce needs to sign these forms in the future.

Thank you for your help.

Kimberly

On Thu, Jan 16, 2014 at 4:53 PM, Guerra, Jasmin <Guerra.Jasmin@epa.gov> wrote:

Hi Kimberly,

Sorry it took me so long to send this email. I just wanted to verify that this MBE/WBE report has been signed by the Authorized Representative. On the application, Bruce Stover was listed as Authorized Representative and I was not sure if Allen had been delegated the authority to sign the report?

If Bruce is still the Authorized Representative that signs these, could you have him add his name, signature and date to the attached report? This way we have record that he had a chance to review and sign-off on the report.

Thank you very much.

Sincerely,

Jasmin

Guerra, Jasmin

From: Guerra, Jasmin
Sent: Thursday, January 16, 2014 4:54 PM
To: 'Kimberly.seymour@state.co.us'
Subject: MBE/WBE - verifying authorized rep signature
Attachments: [Untitled].pdf

Hi Kimberly,

Sorry it took me so long to send this email. I just wanted to verify that this MBE/WBE report has been signed by the Authorized Representative. On the application, Bruce Stover was listed as Authorized Representative and I was not sure if Allen had been delegated the authority to sign the report?

If Bruce is still the Authorized Representative that signs these, could you have him add his name, signature and date to the attached report? This way we have record that he had a chance to review and sign-off on the report.

Thank you very much.

Sincerely,
Jasmin

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OMB CONTROL NO. 2090-0030
APPROVED 05/01/2008
APPROVAL EXPIRES 12/22/2013

**U.S. ENVIRONMENTAL PROTECTION AGENCY
MBE/WBE UTILIZATION UNDER FEDERAL GRANTS
AND COOPERATIVE AGREEMENTS**

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PART II.

MBE/WBE PROCUREMENTS MADE DURING REPORTING PERIOD

EPA Financial Assistance Agreement Number: V – 96803601

1. Procurement Made By			2. Business Enterprise		3. \$ Value of Procurement	4. Date of Procurement MM/DD/YY	5. Type of Product or Services _A (Enter Code)	6. Name/Address/Phone Number of MBE/WBE Contractor or Vendor
Recipient	Sub-Recipient and/or SRF Loan Recipient	Prime	Minority	Women				

Type of product or service codes:

1 = Construction

2 = Supplies

3 = Services

4 = Equipment

Note: Refer to Terms and conditions of your Assistance Agreement to determine the frequency of reporting. Recipients are required to submit MBE/WBE reports to EPA beginning with the Federal fiscal year quarter the recipients receive the award, continuing until the project is completed.

Guerra, Jasmin

From: Guerra, Jasmin
Sent: Monday, December 16, 2013 11:05 AM
To: 'Seymour - DNR, Kimberly'
Cc: Vallejos, Cinna
Subject: Annual MBE/WBE V-96803601-1 & Updated IDC agreement
Attachments: Form 5700-52A final version.doc

Dear Kimberly,

At your earliest convenience can you please send a copy of your most recent IDC agreement as well as a signed copy of the **Annual** MBE/WBE Utilization Under Federal Grants, Cooperative Agreements and Interagency Agreement (Form 5700-52A), a Term and Condition of the Assistance Agreement. The grant information is below and you can email the MBE/WBE to R8grants@epa.gov and the IDC agreement can be emailed to me.

If you have any questions please give me a call at 303-312-6508, or for MBE/WBE questions please contact Marshall Pullman, the Disadvantaged and Minority Business Coordinator, at 303-312-6400 or at pullman.marshell@epa.gov.

Thank you!

Grant: V-96803601-1
Reporting period: FY13

Jasmin Guerra
USEPA, Region 8, TMS-G
1595 Wynkoop St.
Denver, CO 80202-1129
Phone: 1-800-227-8917 ext. 6508
or (303) 312-6508 phone
Fax: (303) 312-6685
Email: guerra.jasmin@epa.gov

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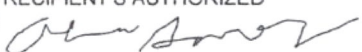
12/6/12

OMB CONTROL NO 2090-0030
APPROVED: 05/01/2008
APPROVAL EXPIRES: 12/22/2013

JG

U.S. ENVIRONMENTAL PROTECTION AGENCY MBE/WBE UTILIZATION UNDER FEDERAL GRANTS AND COOPERATIVE AGREEMENTS

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2B. EPA DBE COORDINATOR Name: Marshall Pullman E-mail: pullman.marshell@epa.gov	2C. PHONE: (303) 312-6499 Fax: 303-312-6685	3B. RECIPIENT REPORTING CONTACT: Name: Allen Sorenson E-mail: allen.sorenson@state.co.us	3C. PHONE: 303-866-3567 ext 8143 Fax: 303-832-8106
4A. FINANCIAL ASSISTANCE AGREEMENT ID NUMBER (SRF State Recipients, refer to Instructions for Completion of blocks 4A, 5A and 5C.) V - 96803601		4B. FEDERAL FINANCIAL ASSISTANCE PROGRAM TITLE or CFDA NUMBER: 66.802 Superfund State, Political Subdivision and Indian Tribe Site-Specific Cooperative Agreements	
5A. TOTAL ASSISTANCE AGREEMENT AMOUNT (SRF State Recipients, refer to Instructions for Completion of blocks 4A, 5A and 5C.) EPA Share: \$ <u>44,585.00</u> Recipient Share: \$ <u>0.00</u>		5B. If NO procurement and NO accomplishments were made this reporting period (by the recipients, sub-recipients, loan recipients, and prime contractors), CHECK and SKIP to Block No. 7. (<u>Procurements</u> are all expenditures through contract, order, purchase, lease or barter of supplies, equipment, construction, or services needed to complete Federal assistance programs. <u>Accomplishments</u> , in this context, are procurements made with MBEs and/or WBEs. <input type="checkbox"/>	
5C. Total Procurements This Reporting Period (Only include amount not reported in any prior reporting period) Total Procurement Amount \$ <u>126.93</u> (Include total dollar values awarded by recipient, sub-recipients and SRF loan recipients, including MBE/WBE expenditures.)			
5D. Were sub-awards issued under this assistance agreement? Yes ___ No <u>X</u> Were contracts issued under this assistance agreement? Yes ___ No <u>X</u>			
5E. MBE/WBE Accomplishments This Reporting Period Actual MBE/WBE Procurement Accomplished: (Include total dollar values awarded by recipient, sub-recipients, SRF loan recipients and Prime Contractors.)			
<u>Construction</u>	<u>Equipment</u>	<u>Services</u>	<u>Supplies</u>
\$MBE: _____	_____	_____	_____
\$WBE: _____	_____	_____	_____
6. COMMENTS: (If no MBE/WBE procurements were accomplished during the reporting period, please explain what steps you are taking to achieve the MBE/WBE Program requirements specified in the terms and conditions of the Assistance Agreement.) Only small procurements were made during the term covered by this report. The procurements were field supplies, gloves and epoxy that were determined to be needed during the course of the field operations. Any significant or planned procurements going forward will be made considering MBE/WBE Program requirements specified in the terms and conditions of the Assistance Agreement.			
7. NAME OF RECIPIENT'S AUTHORIZED REPRESENTATIVE: Allen Sorenson		TITLE Project Manager	
8. SIGNATURE OF RECIPIENT'S AUTHORIZED REPRESENTATIVE 		DATE November 27, 2012	

PART II.

MBE/WBE PROCUREMENTS MADE DURING REPORTING PERIOD

EPA Financial Assistance Agreement Number: V – 96803601

1. Procurement Made By			2. Business Enterprise		3. \$ Value of Procurement	4. Date of Procurement MM/DD/YY	5. Type of Product or Services _A (Enter Code)	6. Name/Address/Phone Number of MBE/WBE Contractor or Vendor
Recipient	Sub-Recipient and/or SRF Loan Recipient	Prime	Minority	Women				

Type of product or service codes:

1 = Construction

2 = Supplies

3 = Services

4 = Equipment

Note: Refer to Terms and conditions of your Assistance Agreement to determine the frequency of reporting. Recipients are required to submit MBE/WBE reports to EPA beginning with the Federal fiscal year quarter the recipients receive the award, continuing until the project is completed.



Periodic Administrative Baseline Review - V-96803601

Jasmin Guerra to: Seymour, Kimberly, Sorenson, Allen

11/23/2012 10:27 AM

Cc: Cinna Vallejos, Steven Way

Bcc: Jasmin Guerra

History: This message has been forwarded.

Dear Kimberly,

Please note the following items to address as a part of our routine periodic baseline review:

IDC negotiated agreement: Please submit your most recent copy

MBE/WBE:

Please Email to the R8grants@epa.gov a signed copy of the Annual MBE/WBE Utilization Under Federal Grants, Cooperative Agreements and Interagency Agreement (Form 5700-52A), to comply with the Assistance Agreement Terms and Conditions. It is not necessary for you to mail the original.

If you have any questions, please give me a call at 303-312-6508, or contact Marshall Pullman, the Disadvantaged and Minority Business Coordinator, at 303-312-6400 or at pullman.marshall@epa.gov. Mr. Pullman may contact you to ensure that you are complying with the EPA's MBE/WBE reporting requirements.



Form 5700-52A final version.doc

Grant: V-96803601

Reporting period: Annual (Marked as last report - Final)

Thank you.

Sincerely,

Jasmin Guerra

Enclosure

USEPA, Region 8, TMS-G
1595 Wynkoop St.
Denver, CO 80202-1129
Phone: 1-800-227-8917 ext. 6508
or (303) 312-6508 phone
Fax: (303) 312-6685
Email: guerra.jasmin@epa.gov



Administrative Baseline Report

->

Document Status

Document Phase: Final

Last Modified: 11/26/2014

Current Editor: Sam Fernandez

Delegate: Emily Rodriguez

Date Completed: 11/26/2014

Grant Number: 96803501

Date of next monitoring: 11/26/2015

Grant Specialist: Sam Fernandez

Grant Specialist Delegate: Emily Rodriguez

Alternatives Completed in Lieu of Baseline Monitoring

☐ Advanced Monitoring Completed

☐ SEE

Administrative Baseline Monitoring

1. Has the recipient returned all counter-signed awards and amendment documents?	Yes
Comments:	
2. Has the recipient made any drawdowns on this award in the last 180 days? (https://ocfosystem1.epa.gov/neis/grant_web.grant_inquiry)	
Yes the recipient has made drawdowns in the last 180 days.	
Comments:	
2A. Do the drawdowns seem reasonable and appropriate for the project duration, award conditions and anticipated progress to date?	
Yes the drawdowns seem reasonable and appropriate.	
Comments:	
3. Select the appropriate ULO code for your review.	
G08 - Valid Obligation - Recent drawdown was made.	
(Enter the date associated with the ULO code)	
3A. Date:	07/14/2014
Comments:	
4. Since the award or most recent administrative monitoring, is the Recipient complying with Administrative Terms and Conditions?	
4A. Timely Submission of DBE Reports, if applicable?	No
Enter an explanation:	
Comments: GMO has requested recipient submit delinquent reports.	
4B. Timely Submission of Federal Financial Reports, if applicable?	NA
Enter Explanation:	
Comments: The Federal Financial Report is not required in Region 8 until closeout.	
4C. Other	
Comments:	
5. Is the Recipient submitting the A-133 Single Audit Report in a timely manner? (http://harvester.census.gov/sac/dissem/entity.html)	Yes
5A. Fiscal year end date of the most recent A-133 audit report:	06/30/2012
5B. Does the audit report contain any EPA-specific findings for this grant or program?	Yes
Enter an explanation:	
Comments: Region 8 specialists have been informed that audit has EPA specific findings.	
6. Are there any open administrative findings for this recipient in the <u>IGMS Recipient Compliance and Recipient Activity Database</u> , including pre-award, audit and advanced monitoring activities?	No
Comments:	
7. Are indirect costs included in the budget?	Yes

Comments:

7A. Does the recipient have a current approved or negotiated rate agreement? Note: Yes
The recipient is required to maintain a current rate throughout the life of the assistance agreement.

Enter an explanation:

Comments: Region 8 maintains IDC rate files of regular recipients, other recipient files are updated as needed.

8. Is the recipient aware of their responsibility for reporting subaward data and executive compensation data to FSRs.gov for subawards of \$25,000 or more? Yes

Comments: If applicable, a term and condition is included in the award that reminds grantee of the reporting requirements

9. Is the Recipient reporting to FSRs.gov? N/A
(<http://FSRS.gov>)

Comments: If applicable, a term and condition is included in the award that reminds grantee of the reporting requirements; Region 8 conducts independent periodic reviews.

10. Based upon your review and knowledge of this award, do you recommend:

Discuss with:

10A. Award Amendment

☐ Yes ☒ No

Comments:

10B. Advanced Administrative Monitoring

☐ Yes ☒ No

Comments:

10C. Programmatic Review

☐ Yes ☒ No

Comments:

10D. OIG Referral

☐ Yes ☒ No

Comments:

10E. More Frequent Baseline Monitoring

☐ Yes ☒ No

Comments:

10F. Other:

Comments:

11. Baseline completed by: Sam Fernandez

Origination Information

Created By: Sam Fernandez on 11/26/2014
Organization: EPA R8



Administrative Baseline Report

Document Status

Document Phase: Final

Last Modified: 12/16/2013

Current Editor: Jasmin Guerra

Delegate: Emily Rodriguez

Date Completed: 12/16/2013

Grant Number: 96803601
Date of next monitoring: 12/10/2014
Grant_Specialist: Jasmin Guerra
Grant Specialist Delegate: Emily Rodriguez

Alternatives Completed in Lieu of Baseline Monitoring

- ☐ Advanced Monitoring Completed
☐ SEE

Administrative Baseline Monitoring

1. Has the recipient returned all counter-signed awards and amendment documents?	Yes
Comments:	
2. Has the recipient made any drawdowns on this award in the last 180 days? (http://ocfosystem1.epa.gov/neis/grant_web.grant_inquiry)	
Yes the recipient has made drawdowns in the last 180 days.	
Comments:	
2A. Do the drawdowns seem reasonable and appropriate for the project duration, award conditions and anticipated progress to date?	
Yes the drawdowns seem reasonable and appropriate.	
Comments:	
3. Select the appropriate ULO code for your review.	
G08 - Valid Obligation - Recent drawdown was made.	
(Enter the date associated with the ULO code)	
3A. Date:	11/29/2013
Comments:	
4. Since the award or most recent administrative monitoring, is the Recipient complying with Administrative Terms and Conditions?	
4A. Timely Submission of DBE Reports, if applicable?	No
Enter an explanation:	
Comments: GMO has requested recipient submit delinquent reports.	
4B. Timely Submission of Federal Financial Reports, if applicable?	NA
Enter Explanation:	
Comments: The Federal Financial Report is not required in Region 8 until closeout.	
4C. Other	
Comments:	
5. Is the Recipient submitting the A-133 Single Audit Report in a timely manner? (http://harvester.census.gov/sac/dissemin/entity.html)	Yes
5A. Fiscal year end date of the most recent A-133 audit report:	06/30/2012
5B. Does the audit report contain any EPA-specific findings for this grant or program?	Yes
Enter an explanation:	
Comments: Region 8 specialists have been informed that audit has EPA specific findings.	
6. Are there any open administrative findings for this recipient in the <u>IGMS Recipient Compliance and Recipient Activity Database</u> , including pre-award, audit and advanced monitoring activities?	No
Comments:	
7. Are indirect costs included in the budget?	Yes

Comments:

7A. Does the recipient have a current approved or negotiated rate agreement? Note: No
The recipient is required to maintain a current rate throughout the life of the assistance agreement.

Enter an explanation:

Comments: Last negotiated rate 7/18/12; GS is requesting a copy of most recent agreement.

8. Is the recipient aware of their responsibility for reporting subaward data and executive compensation data to FSRS.gov for subawards of \$25,000 or more? Yes

Comments: If applicable, a term and condition is included in the award that reminds grantee of the reporting requirements

9. Is the Recipient reporting to FSRS.gov?
(<http://FSRS.gov>)

N/A

Comments: Workplan does not indicate any subawards.

10. Based upon your review and knowledge of this award, do you recommend:

Discuss with:

10A. Award Amendment

☐ Yes ☒ No

Comments:

10B. Advanced Administrative Monitoring

☐ Yes ☒ No

Comments:

10C. Programmatic Review

☐ Yes ☒ No

Comments:

10D. OIG Referral

☐ Yes ☒ No

Comments:

10E. More Frequent Baseline Monitoring

☐ Yes ☒ No

Comments:

10F. Other:

Comments:

11. Baseline completed by:

Jasmin Guerra

Origination Information



Administrative Baseline Report

Document Status

Document Phase: Final
Current Editor: Jasmin Guerra
Delegate: Emily Rodriguez
Grant Number: 96803601
Date of next monitoring: 12/10/2014
Grant Specialist: Jasmin Guerra
Grant Specialist Delegate: Emily Rodriguez

Last Modified: 12/10/2013

Date Completed: 12/10/2013

Alternatives Completed in Lieu of Baseline Monitoring

- ☐ Advanced Monitoring Completed
☐ SEE

Administrative Baseline Monitoring

1. Has the recipient returned all counter-signed awards and amendment documents? Yes
Comments:
2. Has the recipient made any drawdowns on this award in the last 180 days?
(http://ocfosystem1.epa.gov/neis/grant_web.grant_inquiry)
Yes the recipient has made drawdowns in the last 180 days.
Comments:
2A. Do the drawdowns seem reasonable and appropriate for the project duration, award conditions and anticipated progress to date?
Yes the drawdowns seem reasonable and appropriate.
Comments:
3. Select the appropriate ULO code for your review.
G08 - Valid Obligation - Recent drawdown was made.
(Enter the date associated with the ULO code)
3A. Date: 11/29/2013
Comments:
4. Since the award or most recent administrative monitoring, is the Recipient complying with Administrative Terms and Conditions?
 - 4A. Timely Submission of DBE Reports, if applicable? No
Enter an explanation:
Comments: GMO has requested recipient submit delinquent reports.
 - 4B. Timely Submission of Federal Financial Reports, if applicable? NA
Enter Explanation:
Comments: The Federal Financial Report is not required in Region 8 until closeout.
 - 4C. Other
Comments:
5. Is the Recipient submitting the A-133 Single Audit Report in a timely manner? Yes
(<http://harvester.census.gov/sac/dissemin/entity.html>)
 - 5A. Fiscal year end date of the most recent A-133 audit report: 06/30/2012
 - 5B. Does the audit report contain any EPA-specific findings for this grant or program? NoComments:
6. Are there any open administrative findings for this recipient in the IGMS Recipient Compliance and Recipient Activity Database, including pre-award, audit and advanced monitoring activities? No
Comments:
7. Are indirect costs included in the budget? Yes
Comments:

7A. Does the recipient have a current approved or negotiated rate agreement? Note: No
The recipient is required to maintain a current rate throughout the life of the assistance agreement.

Enter an explanation:

Comments: Last negotiated rate 7/18/12; GS is requesting a copy of most recent agreement.

8. Is the recipient aware of their responsibility for reporting subaward data and executive compensation data to FSRs.gov for subawards of \$25,000 or more? Yes

Comments: If applicable, a term and condition is included in the award that reminds grantee of the reporting requirements

9. Is the Recipient reporting to FSRs.gov?
(<http://FSRS.gov>)

N/A

Comments: Workplan does not indicate any subawards.

10. Based upon your review and knowledge of this award, do you recommend:

Discuss with:

10A. Award Amendment

☐ Yes ☒ No

Comments:

10B. Advanced Administrative Monitoring

☐ Yes ☒ No

Comments:

10C. Programmatic Review

☐ Yes ☒ No

Comments:

10D. OIG Referral

☐ Yes ☒ No

Comments:

10E. More Frequent Baseline Monitoring

☐ Yes ☒ No

Comments:

10F. Other:

Comments:

11. Baseline completed by:

Jasmin Guerra

Origination Information



Document Review

Compass Document: GO V96803601

12/10/13

Document Summary: [General Ledger Entries](#)

Doc Type: GO

Doc No: V96803601

Vendor Code: 840644739B V

IGMS Grant No: 96803601-1

IGMS Budget Start Date: 05/15/2012

IGMS Budget End Date: 12/31/2013

IGMS Project Start Date: 05/15/2012

IGMS Project End Date: 12/31/2013

Order Date: 05/09/12

Closed Date:

Servicing Finance Office: LVFC

Order Amount: \$44,585.00

Net Paid Amount: \$32,456.74

Closed Amount: \$32,456.74

Available Amount: \$12,128.26

Vendor: EXECUTIVE DIRECTOR'S OFFICE

Alternate Vendor:

Description:

Extended Description:

Document Details: [Expand](#)

Line#	Line Amt	Expended Amt	Closed Amt	Refunded Amt	Available Amt	BFY	Fund	Org	Program	Project	FOC	CostOrg	Comments	Extended Desc
1	\$44,585.00	\$32,456.74	\$32,456.74	\$0.00	\$12,128.26	2011	TR2B	08L	303DC6	08BUBB01	4126		RQ1208L.SP063	Amend0

Document Activity:

Date	Ref Amount	Related Document	Direction	Date	Ref Amount	Related Document	Date	Ref Amount	Related Document
11/29/2013	\$466.49	DT 14AS812425	Forward						
10/31/2013	\$3,001.58	DT 14AS806638	Forward						
10/02/2013	\$853.45	DT 14AS800790	Forward						
08/30/2013	\$176.68	DT 13AS793482	Forward						
07/31/2013	\$315.95	DT 13AS787172	Forward						
06/28/2013	\$1,140.78	DT 13AS781301	Forward						
05/31/2013	\$1,885.33	DT 13AS774852	Forward						
04/30/2013	\$395.02	DT 13AS768217	Forward						
03/29/2013	\$177.76	DT 13AS761101	Forward						
02/28/2013	\$721.32	DT 13AS754553	Forward						
01/31/2013	\$616.64	DT 13AS748444	Forward						
12/31/2012	\$2,027.20	DT 13AS741562	Forward						
10/31/2012	\$5,413.63	DT 13AS728559	Forward						
09/26/2012	\$3,590.80	DT 12AS720791	Forward						
08/31/2012	\$5,729.17	DT 12AS715149	Forward						
07/31/2012	\$3,622.65	DT 12AS705768	Forward						
06/29/2012	\$2,322.29	DT 12AS697290	Forward						
05/10/2012	\$44,585.00	RQ 1208L.SP063	Back						

[Warehouse Homepage](#)[EPA@Work Home](#) | [EPA Internet](#)http://V1742TRTAY003.aa.ad.epa.gov/neis/ifms_web.finance_result

This web page was last updated on 08/12/2012.

For issues, please contact: The OCFO System Help Desk - OCFO-System-Help@epa.gov or (202) 564-OCFO (6236)

Guerra, Jasmin

From: Guerra, Jasmin
Sent: Monday, December 09, 2013 10:00 AM
To: Vallejos, Cinna
Subject: Superfund - Your Action Please: Grants Baseline Monitoring is Due

Hi Cinna,

Please note that the grants identified below are due for Grants Baseline Monitoring. Instructions and links for completing the Baseline Review are included below. Thank you.

Status	Due Now	Due Now	Due Now
Project Officer	Cinna Vallejos	Cinna Vallejos	Cinna Vallejos
Grant No	98854501-3	97840101-T	96803601-1
Program Code	V	V	V
Recipient	SD Department of Environment & Natural Resources	CO Department of Public Health and Environment	CO Department of Natural Resources
Project Start	5/28/2001	8/20/2007	5/14/2012
Project End	11/10/2015	6/29/2014	12/30/2013
Last Baseline	12/6/2012	12/17/2012	11/5/2012
Next Baseline	12/6/2013	12/17/2013	11/5/2013
Specialist	Jasmin Guerra	Jasmin Guerra	Jasmin Guerra
Division Office			
	8EPR-PS	8EPR-S	8EPR-PS
Status	Due Now	Due Now	
Project Officer	Cinna Vallejos	Cinna Vallejos	
Grant No	98896601-J	97840301-9	
Program Code	V	V	
Recipient	Clear Creek County	SD Department of Environment and Natural Resources	
Project Start	6/8/2003	6/30/2007	
Project End	5/29/2014	6/29/2014	
Last Baseline	11/6/2012	11/8/2012	
Next Baseline	11/6/2013	11/8/2013	
Specialist	Jasmin Guerra	Jasmin Guerra	
Division Office			
	8EPR-S	8EPR-S	

Background

Baseline monitoring is the periodic review of a recipient's progress in and compliance with a specific award's scope of work, terms and conditions, and regulatory requirements. Documented programmatic and administrative baseline monitoring is required for all grants. Baseline monitoring has been a grants management

requirement since 2004. Effective January, 2008, project officers must use the Integrated Grants Management System (IGMS) to complete baseline monitoring.

Baseline Tracking Tool

Until recently, it has been difficult for project officers to determine exactly when a baseline monitoring report is due. Region 2 developed and Headquarters Grants has made available since February, 2010, a new baseline tracking tool.

The website for the Baseline Tracking Tool is here: <http://cfint.rtpnc.epa.gov/baseline/>

An excellent two page guide for using the Tool is here:

http://intranet.epa.gov/ogd/igms_tools/post_award_baseline_tracking_tool_guide.pdf

An additional resource are training videos. The short version is useful for getting an overview on how to use the Tool for monitoring purposes. The longer version explains how you can go to the Tool and assess your grant to complete a baseline monitoring tool.

Baseline Reporting Tools - Training Video (NEW)

- [Post Award Baseline Tracking Video 1 \(short version\) 4 min 59 sec](#)
-
- [Post Award Baseline Tracking Video 2 13 min 16 sec](#)

For project officers that need a refresher on how to complete a baseline monitoring report in IGMS, this link provides a walk through:

http://intranet.epa.gov/ogd/igms_tools/Programmatic_Baseline_Monitoring_Walkthrough.pdf

Thank you for your support and assistance in helping the Region get to the Agency target level for this requirement.

Guerra, Jasmin

From: Guerra, Jasmin
Sent: Tuesday, October 29, 2013 9:01 AM
To: Vallejos, Cinna
Subject: Superfund - Your Action Please: Grants Baseline Monitoring is Due

Hi Cinna,

Please note that the grant(s) identified below are due for Grants Baseline Monitoring. Instructions and links for completing the Baseline Review are included below. Thank you.

Status	Due Now	Due Now	Due Now
Project Officer	Cinna Vallejos	Cinna Vallejos	Cinna Vallejos
Grant No	96803601-1	98896601-J	97840301-9
Program Code	V	V	V
Recipient	CO Department of Natural Resources	Clear Creek County	SD Department of Environment and Natural Resources
Project Start	5/14/2012	6/8/2003	6/30/2007
Project End	12/30/2013	5/29/2014	6/29/2014
Last Baseline	11/5/2012	11/6/2012	11/8/2012
Next Baseline	11/5/2013	11/6/2013	11/8/2013
Specialist	Jasmin Guerra	Jasmin Guerra	Jasmin Guerra
Division Office	8EPR-PS	8EPR-S	8EPR-S

Status	Due Now
Project Officer	Cinna Vallejos
Grant No	97844001-2
Program Code	V
Recipient	UT Department of Environmental Quality
Project Start	9/30/2010
Project End	9/29/2014
Last Baseline	10/11/2012
Next Baseline	10/11/2013
Specialist	Sarah Hulstein
Division Office	EPR

Background

Baseline monitoring is the periodic review of a recipient's progress in and compliance with a specific award's scope of work, terms and conditions, and regulatory requirements. Documented programmatic and

administrative baseline monitoring is required for all grants. Baseline monitoring has been a grants management requirement since 2004. Effective January, 2008, project officers must use the Integrated Grants Management System (IGMS) to complete baseline monitoring.

Baseline Tracking Tool

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Baseline Reporting Tools - Training Video (NEW)

- [Post Award Baseline Tracking Video 1 \(short version\)](#) 4 min 59 sec
-
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http://intranet.epa.gov/ogd/igms_tools/Programmatic_Baseline_Monitoring_Walkthrough.pdf

Thank you for your support and assistance in helping the Region get to the Agency target level for this requirement.



Administrative Baseline Report

Document Status

Document Phase: Final

Last Modified: 11/23/2012

Current Editor: Jasmin Guerra

Delegate: Emily Rodriguez

Date Completed: 11/23/2012

Grant Number: 96803601
Date of next monitoring: 11/23/2013
Grant_Specialist: Jasmin Guerra
Grant Specialist Delegate: Emily Rodriguez

Alternatives Completed in Lieu of Baseline Monitoring

- ☐ Advanced Monitoring Completed
☐ SEE

Administrative Baseline Monitoring

1. Has the recipient returned all counter-signed awards and amendment documents?	Yes
Comments:	
2. Has the recipient made any drawdowns on this award in the last 180 days? (http://ocfosystem1.epa.gov/neis/grant_web.grant_inquiry)	
Yes the recipient has made drawdowns in the last 180 days.	
Comments:	
2A. Do the drawdowns seem reasonable and appropriate for the project duration, award conditions and anticipated progress to date?	
Yes the drawdowns seem reasonable and appropriate.	
Comments:	
3. Select the appropriate ULO code for your review.	
G08 - Valid Obligation - Recent drawdown was made. (Enter the date associated with the ULO code)	
3A. Date:	10/31/2012
Comments:	GS will verify with PO if grant is going to end or if remaining dollars will be deobligated and/or needed by recipient.
4. Since the award or most recent administrative monitoring, is the Recipient complying with Administrative Terms and Conditions?	
4A. Timely Submission of DBE Reports, if applicable?	No
Enter an explanation:	
Comments:	GMO has requested recipient submit delinquent reports.
4B. Timely Submission of Federal Financial Reports, if applicable?	NA
Enter Explanation:	
Comments:	The Federal Financial Report is not required in Region 8 until closeout.
4C. Other	
Comments:	
5. Is the Recipient submitting the A-133 Single Audit Report in a timely manner?	Yes
(http://harvester.census.gov/sac/dissem/entity.html)	
5A. Fiscal year end date of the most recent A-133 audit report:	06/30/2011
5B. Does the audit report contain any EPA-specific findings for this grant or program?	Yes
Enter an explanation:	
Comments:	Region 8 specialists have been informed that audit has EPA specific findings.
6. Are there any open administrative findings for this recipient in the IGMS Recipient Compliance and Recipient Activity Database, including pre-award, audit and advanced monitoring activities?	No
Comments:	